



RECYCLE
USED OIL

PROCEDURES AND REQUIREMENTS
USED OIL RESEARCH, TESTING AND
DEMONSTRATION GRANT
SECOND CYCLE

JUNE 1997



Integrated
Waste
Management
Board

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Procedures and Requirements

Used Oil Research, Testing and Demonstration Grants

Second Cycle

The California Oil Recycling Enhancement Act (Statutes of 1991, Chapter 817) authorizes the CIWMB to offer Used Oil Research, Testing and Demonstration Grants (RTD Grants) to public and private entities, non-profit organizations and individuals for costs associated with oil collection, recycling and marketing activities. The RTD Grant focuses on collection technologies and the development of uses for products resulting from the recycling of used oil. These are the *Procedures and Requirements* for the RTD Grants awarded by the California Integrated Waste Management Board (CIWMB). This document is incorporated by reference into each RTD Grant agreement.

QUESTIONS?

Please direct any questions regarding this document or your Grant agreement to your CIWMB grant manager at their direct telephone number or at (916) 255-2891.

WHERE TO SEND REPORTS, PAYMENT REQUESTS, ETC.

Send your reports, payment requests, and all other written correspondence to your CIWMB grant manager's attention at:

Grants and HHW Section
California Integrated Waste Management Board
8800 Cal Center Drive, Mail Station 4
Sacramento, CA 95826
FAX (916) 255-2318

ELIGIBLE COSTS

All costs must be directly related to the collection, recycling or marketing of used oil and must be incurred within the grant term. To ensure recovery of all expenditures made through this grant, make sure your costs are eligible for reimbursement and are reasonable. Please contact your CIWMB grant manager if you have any questions concerning eligible costs.

COSTS REQUIRING PRE- APPROVAL

Submit a written request for pre-approval to your CIWMB grant manager before making expenditures associated with the tasks or products listed below. Your request must include a description of the proposed task or product, bids or estimates (when appropriate), and a justification for the expenditure.

- Publicity and premiums.
- Educational materials, including curricula.
- Vehicles, trailers, or equipment.

COSTS REQUIRING PRE-APPROVAL (continued)

- Copyrighted or trademarked materials.
- Financial assistance to privately owned collection centers.

- Planning, background, or feasibility studies.
- Travel.
- Training.

Note: Do not make any expenditures until you have received approval from your CIWMB grant manager. You may not be reimbursed for expenditures that have not received approval.

INELIGIBLE COSTS

Any costs not directly related to the implementation of the Board approved Work Statement and Budget are ineligible for grant funding. The activities, products, or costs listed below are specifically identified as ineligible. If you have any questions regarding ineligible costs contact your CIWMB grant manager.

- Costs incurred prior to June 30, 1997 or after December 31, 1998.
- Costs currently covered by another CIWMB loan or grant.
- Purchasing or leasing of land.
- Remediation.
- Management, handling, disposal, or treatment of radioactive, explosive or infectious wastes, compressed gas cylinders, and other extremely hazardous waste.
- Overtime costs.
- Out of state travel.
- Any food or beverages (e.g. as part of meetings, workshops, training, or events).
- Profit or mark-up by the grantee.
- Any costs that are not consistent with local, State, and federal guidelines and regulations.

PUBLICITY & EDUCATION

Tips:

Remember to establish overall objectives for your campaign (e.g. increase hotline calls by 15% or increase collection by 10%)

Determine the target audience then choose the best method to reach them (e.g. TV, radio, news ads, sport event programs, etc.)

Include an action step (e.g. "Call this number for list of collection opportunities.")

When purchasing premiums be sure they are durable and carry a long lasting message.

Evaluate the outcome of your campaign.

Submit a final draft of all publicity or educational materials to your CIWMB grant manager for approval prior to production. Materials that have been approved under another grant must be reviewed and approved for applicability under this grant. Any materials developed or purchased by a contractor must be approved by the grantee before submission to the CIWMB. If your CIWMB grant manager requests changes, incorporate them and submit a revised draft for approval prior to production.

The CIWMB has a clearinghouse of publicity and educational materials produced through used oil and HHW grants. You may wish to use some of these materials for your campaign; however, they still must be reviewed and approved by your CIWMB grant manager to determine if they are appropriate for this grant. Contact your CIWMB grant manager if you would like to set up an appointment to view the clearinghouse materials or for additional information about the clearinghouse.

Note: Do not begin production until you have received approval from your CIWMB grant manager. You may not be reimbursed for expenditures that have not received approval. Also, your CIWMB grant manager may determine that not all costs are reimbursable.

All publicity and educational materials must:

Provide specific information on reducing the illegal disposal of used oil.

Include the acknowledgment: "**Funded by a grant from the California Integrated Waste Management Board**". (Use of the initials 'CIWMB' is not sufficient.)

List all used oil/filter collection opportunities within the targeted community or provide a telephone number to call for information on local collection centers. When collection centers are listed, include language such as: "Call center for hours of operation and quantities accepted."

Include the "used oil drop" logo with the words "Recycle Used Oil" below it. Camera-ready art and color specifications are available from the CIWMB at no charge. Use the State colors (blue oil drop on gold background) on any material produced in 4 or more colors.

Listed below are additional guidelines for publicity and educational materials.

Allow a minimum of 5 working days for approval of English materials and 10 working days for non-English materials.

If you are proposing curricula development, allow at least six months for approval. Approval times for curricula are extensive because all curricula development involves reviews by CIWMB staff, teachers, education professionals, the California Department of Education, and classroom testing.

Attach a sign to all vehicles and other large pieces of equipment purchased with CIWMB grant funds which displays the "used oil drop" logo and states, "**Funded by a grant from the California Integrated Waste Management Board**". Signs that fulfill this requirement are available from the CIWMB at no cost. If you want to develop your own sign, your CIWMB grant manager must approve it.

Include 3 copies of final publicity or educational materials with the next report you submit to your CIWMB grant manager.

COPYRIGHTS, TRADEMARKS, PATENTS, ETC.

Anything produced with grant funds,

including materials created by a contractor or vendor, becomes the property of the CIWMB. For additional information consult the *Terms and Conditions* or contact your CIWMB grant manager.

REPORTING

Your CIWMB grant manager may request a report at any time, and has the authority to immediately suspend or terminate the grant agreement if reports are not submitted or progress is unsatisfactory.

Quarterly Reports

A report must be submitted quarterly, according to the following schedule:

Reporting Period	Due Date
July – Sept.1997	Oct. 30 1997
Oct. – Dec.1997	Jan. 31 1997
Jan. – Mar.1998	April 30 1998
April – June 1998	July 31 1998
July – Sept.1998	Oct. 31 1998
Oct. – Dec.1998	Feb. 15 1999 (final)

Each progress report must:

1. Be arranged by the tasks identified in the approved Work Statement.
2. Describe in detail all work completed since the previous quarterly report. List the results achieved and problems or special situations encountered.
3. Discuss work to be conducted during the next reporting period. Do not include this information in the final report.
4. Brief discussion of whether the work has been completed according to the approved Work Statement, including any deviations from the original schedule.
5. Attach three copies of all final materials unless otherwise directed by your CIWMB grant manager.

Note: While the progress report does not require program assessment information, we recommend you track this information throughout the grant term as it is required in the Final Report.

Final Report

The final report, along with the final payment request, is due February 15, 1999. The final report is submitted in lieu of the last quarterly report and must cover the entire term of the grant. The final report must:

1. Have a table of contents.
2. Be arranged by the tasks identified in the approved Work Statement.

3. Describe all efforts that were undertaken, continued, or completed. Evaluate your successes or failures, and the cost effectiveness of your efforts.

Note: For publicity and education efforts, if applicable

, answer the following questions:

- a) Who was your target audience?
- b) Why did you choose this approach?
- c) What materials were developed (e.g. door hangers, billboards, etc.)?
- d) How did the actual outcome compare to the desired outcome?

4. Estimate how many people were reached as a result of this grant.
5. Include photographs, when applicable, of work products, equipment, structures, events, etc. that were produced, purchased, or conducted. Attach three copies of all final materials unless directed otherwise by your CIWMB grant manager
6. List all contractors, subcontractors, and vendors that were used. For each, include a name, address, phone number, and a brief statement of work.
7. Evaluate the outcome of the grant. Describe findings, conclusions, and recommendations for follow-up or ongoing activities and how they affect future development of your program.

PAYMENT REQUESTS

General Guidelines and Information

Tip:

If only claiming a portion of an invoice, indicate the amount billed to this grant and the funding source for the remaining portion (e.g. another CIWMB grant, local funds, etc.)

Payment requests may be submitted any time you have a reasonable amount of funds to claim. However, at a minimum, a payment request must be submitted every six months if costs have been incurred and not yet claimed, or any time when you have expended one half or more of your total grant award.

- Your payment request will be approved when your CIWMB grant manager determines that your payment request is complete and accurate, and all required reports have been submitted and approved.
- Payments will be made to the grantee only.
- Grantees are not eligible to receive the final ten percent of their total grant award until all conditions stipulated in the grant agreement have been satisfactorily completed.
- Requests for advance payment will be considered under special circumstances. Contact your CIWMB grant manager for further information.

Required Documents

A complete Payment Request must include the following items in the order listed.

1. **Payment Request Form -**
This form must be signed by the individual authorized by the resolution. Please remember to type or print the individual's name and title.
2. **Itemization.** All expenditures must be itemized and be arranged by the categories listed in the Budget Summary.
3. **Supporting Documentation -** Submit documentation for all costs claimed on the payment request. Types of acceptable documentation include:
 - a) **Invoices.** Invoices must include the name of the vendor, vendor's telephone number and address, description of goods or services purchased, amount due, and date.
 - b) **Receipts.** Receipts should include the same information as invoices (see above).
 - c) **Purchase orders with copies of canceled checks.** Purchase orders should include the same information as invoices (see above) and must be accompanied by a copy of a canceled check.
 - d) **Personnel Expenditure Summary Forms.** Document personnel expenditures based on actual time spent on grant related activities.
 - e) **Travel Expense Logs.** Document costs related to travel and include supporting documentation. See form for instructions..

SERVICES RENDERED

A service is rendered when a grantee has a legal obligation to pay a vendor and the vendor has a right to be paid. The acquisition of a good or service must be initiated within the grant term. Proof of delivery and payment is required before your CIWMB grant manager will approve the final payment. This documentation must be submitted with the final payment request. Questions regarding specific situations should be directed to your CIWMB grant manager.

AUDITS

Tip:
Follow guidelines in the *A-87 Cost Principles for State & Local Governments*.

Your grant may be audited. You may find it helpful to share the *Terms and Conditions* and *Procedures and Requirements* with your finance department. Source documents substantiating your expenditures should be maintained for three years following the completion of the grant. These documents include, but are not limited to:

- expenditure ledger,
- payroll register entries and time sheets,
- personnel expenditure summary form,
- travel expense log,
- paid warrants,
- contracts and change orders, and
- Invoices and/or canceled checks

AUDITS (continued)

EXCEPTIONS

Exceptions to the provisions of these *Procedures and Requirements* will be

considered on a case by case basis. Contact your CIWMB grant manager for instructions on preparing an exception request